

PATENTS
CF-55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Carlton Bartels et al.
 Application No. : 09/967,272 Confirmation No.: 6788
 Filed : September 28, 2001
 For : ELECTRONIC TRADING SYSTEM FOR
 SIMULATING THE TRADING OF CARBON
 DIOXIDE EQUIVALENT EMISSION
 REDUCTIONS AND METHODS OF USE
 Group Art Unit : 3624
 Examiner : Kelly Scaggs Campen

Mail Stop RCE
 Hon. Commissioner for Patents
 P.O. Box 1450
 Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97,
 applicants hereby make the following documents of record
 in the above-identified patent application:

U.S. PATENT DOCUMENTS

4,731,575	3/1988	Sloan
4,750,119	6/1988	Cohen et al.
5,237,507	8/1993	Chasek
5,297,026	3/1994	Hoffman
5,519,622	5/1996	Chasek
5,532,928	7/1996	Stanczyk et al.
5,621,654	4/1997	Cohen et al.
5,664,112	9/1997	Sturgeon et al.
5,696,695	12/1997	Ehlers et al.
5,726,884	3/1998	Sturgeon et al.
5,794,212	8/1998	Mistr, Jr.
5,894,422	4/1999	Chasek
5,915,244	6/1999	Jack et al.

U.S. PATENT DOCUMENTS

5,924,486	7/1999	Ehlers et al.
5,930,773	7/1999	Crooks et al.
5,962,989	10/1999	Baker
6,047,274	4/2000	Johnson et al.
6,067,549	5/2000	Smalley et al.
6,169,979	1/2001	Johnson et al.
6,256,640	7/2001	Smalley et al.
6,678,620	1/2004	Tamai et al.
6,904,336	6/2005	Raines et al.
2001/0032168	10/2001	Adarnson et al.
2002/0035496	3/2002	Fukushima et al.
2002/0040356	4/2002	Gluck et al.
2002/0143693	10/2002	Soestbergen et al.
2002/0178047	11/2002	Or et al.
2003/0055665	3/2003	Fleming
2003/0085179	5/2003	Kim et al.
2003/0101062	5/2003	Taber, Jr.
2003/0110116	6/2003	Inubushi
2003/0229572	12/2003	Raines et al.

FOREIGN PATENT DOCUMENTS

PCT	WO 03/058386	7/17/2003
PCT	WO 03/058385	7/17/2003

NON-PATENT DOCUMENTS

Chinn, Lily N., "Can the Market Be Fair and Efficient? An Environmental Justice Critique of Emissions Trading", 26 Ecology L.Q. 80 (1999).

Driesen, David, "Is Emissions Trading An Economic Incentive Program?: Replacing The Command And Control/Economic Incentive Dichotomy", 55 Wash. & Lee L. Rev. 289 (1998).

Gorrell, M., "Taking Pollution To The 'Bank' Pays Dividends Program Offers Utah Firms A Reward For Cleaning Up", The Salt Lake Tribune, May 29, 1995, at D3.

Holly, Chris, "EC Moves On Greenhouse Emissions Trading Plan", The Energy Daily, 28 (53), Mar. 2000.

Jarman, M., "Utilities Set For Pinch In Resources", The Arizona Republic, Dec. 2000, at B1.

Pallasch, Abdon M., "City To Receive Millions From HUD To Reclaim Brownfields; 5 Industrial Locations Expected To Attract New Factories, Jobs", Chi. Trib., Nov. 17, 1998, at 5.

Porter, N., "Legislators Begin Emissions Talks Resolution Sought To Untangle Conflict", Bangor Daily News, Aug. 4, 1994.

Rosenfeld, Arthur, et al., "Policies To Reduce Heat Islands: Magnitudes Of Benefits And Incentives To Achieve Them", Proceedings of the ACEEE Summer Study on Energy Efficiency in Buildings, vol. 9 (1996) at 177.

"Cold Facts On Hot Topic", The Calgary Sun, Nov. 18, 2000, at SE3.

"EPSA Says California Discourages Generators", Generation Week, 2 (44), Nov. 1, 2000.

"EPSA: Don't Exclude New Plants From NOx Trading", The Electricity Daily, 9 (108), Dec. 5, 1997.

NON-PATENT DOCUMENTS

"Green Power Is Too Gray", Electrical World, 211 (5), May 1997, at 44.

"Climate Change: A Backgrounder; Petroleum Communication Foundation", Oilweek, 45 (46), Nov. 14, 1994, at S1.

"Indiana House Passes Bill Allowing Pre-Approval Of Compliance Costs", Utility Environment Report, Apr. 19, 1991, at 3.

"SCAQMD Proposes Adding Natural Gas Cuts To Its Reclaim Trading Program", Utility Environment Report, May 27, 1994, at 9.

"Waffling On Warming: Canada Has No Clear Policy On Climate Change", Calgary Herald, Mar. 2, 1998, at A16.

California Energy Commission, "1999 Electricity Generation Emissions Report", Jul. 1999.

"Green Light", The National Journal, 25 (24), Jun. 12, 1993, at 1421.

"Canada's first greenhouse gas emission reduction exchange opens," Oil and Gas Inquirer v12:7, July 2000, at 40-41.

Colton et al "Keys to Successful Carbon Dioxide Market: Program Structure and Secondary Trading," Energy Efficiency and Global Environment - Biennial Conference, 1995, at 61-74.

The aforementioned references are listed on the accompanying Form PTO/SB/08 (submitted in duplicate).

Pursuant to 37 C.F.R. § 1.98(a)(2)(ii), copies of the above U.S. patent documents are not provided. Copies of

the above foreign patent documents and non-patent documents are enclosed. It is respectfully requested that these references be: (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent that may issue on this application.

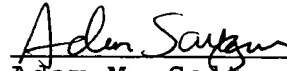
Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants also wish to call the attention of the Examiner to Raines et al. U.S. Patent Application No. 11/116,229, filed April 28, 2005. A copy of this application is enclosed herewith. Applicants respectfully request that the Examiner initial "All references have been considered" on the last page of the enclosed Form PTO/SB/08 to indicate that this reference was considered in accordance with MPEP §§ 609 III.C(2).

Applicants request that a copy of Form PTO/SB/08, as considered and initialed by the Examiner, be returned with the next communication.

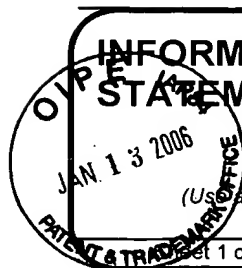
Consideration of the foregoing in relation to
this patent application is respectfully requested.

Respectfully submitted,



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 5

Applicant Number	09/967,272
Filing Date	September 28, 2001
First Named Inventor	Carlton Bartels
Art Unit	3624
Examiner Name	Kelly Scaggs Campen
Attorney Docket Number	CF-55
Confirmation Number	6788

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		4,731,575	3/1988	Sloan	
		4,750,119	6/1988	Cohen et al.	
		5,237,507	8/1993	Chasek	
		5,297,026	3/1994	Hoffman	
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		5,532,928	7/1996	Stanczyk et al.	
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		5,664,112	9/1997	Sturgeon et al.	
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		5,794,212	8/1998	Mistr, Jr.	
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		5,962,989	10/1999	Baker	
		6,047,274	4/2000	Johnson et al.	
		6,067,549	5/2000	Smalley et al.	
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		6,256,640	7/2001	Smalley et al.	
		6,678,620	1/2004	Tamai et al.	
		6,904,336	6/2005	Raines et al.	
		2001/0032168	10/2001	Adarnson et al.	

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FOREIGN PATENT DOCUMENTS

[illegible]

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Chinn, Lily N., "Can the Market Be Fair and Efficient? An Environmental Justice Critique of Emissions Trading", 26 Ecology L.Q. 80 (1999).	
		Driesen, David, "Is Emissions Trading An Economic Incentive Program?: Replacing The Command And Control/Economic Incentive Dichotomy", 55 Wash. & Lee L. Rev. 289 (1998).	

Examiner Signature		Date Considered	
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	California Energy Commission, "1999 Electricity Generation Emissions Report", Jul. 1999.	
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All references have been considered _____
Examiner

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